



**Office of Enterprise Compliance Report - Matrix**  
**March 13, 2009**

**Attachment A**

	<b>DATE OF ASSIGNMENT</b>	<b>STATUS</b>
1. Program Activities	Ongoing	Chief Compliance Officer (CCO) conducted one session of New Employee Orientation, CalPERS "Working Values" in February.  The Working Values Handbook and Wallet Card were revised for 2009.  CCO provided executive briefing to Enterprise Security and Privacy Officer.
2. Reporting Non-Compliance Issues	Ongoing	Ongoing.
3. Compliance Area Manager - Investments	Ongoing	Compliance Area Manager (CAM), Investments is monitoring Global Equities and Fixed Income investments daily and providing weekly summary of compliance alerts to CCO. User access to automated systems monitored and monthly reconciliation reports reviewed.  CAM worked with CalPERS Investments Office and Legal Office on Investment policy review.  CAM revised compliance monitoring processes for CAM Procedures Manual.
4. Compliance Area Manager-Health	Ongoing	CAM worked with Health business line to assess risk of non-compliance with policies, rules, and regulations.



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5. Compliance Area Manager- Pension	Ongoing	CAM worked with Pension business line to assess risk of non-compliance with policies, rules, and regulations.